

CHAPTER 12
CIVILIAN PERSONNEL RECORDS

SSIC 12000-12999

THE RECORDS DESCRIBED IN THIS CHAPTER RELATE TO THE ADMINISTRATION OF CIVILIAN PERSONNEL FUNCTIONS THROUGHOUT THE NAVY AND MARINE CORPS. THIS SCHEDULE COVERS THE DISPOSITION OF ALL OFFICIAL PERSONNEL FOLDERS (OPFs) OF CIVILIAN EMPLOYEES AND ALL OTHER RECORDS RELATING TO CIVILIAN PERSONNEL. ANY RECORDS CREATED PRIOR TO JANUARY 1, 1921, MUST BE OFFERED TO THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA) FOR POSSIBLE PERMANENT RETENTION BEFORE THESE DISPOSITION INSTRUCTIONS MAY BE APPLIED.

THE FORMAT USED FOR THIS SERIES FOLLOWS THAT OF THE FEDERAL PERSONNEL MANUAL (FPM) ISSUED BY THE OFFICE OF PERSONNEL MANAGEMENT (OPM), AND NOT NECESSARILY THAT OF THE REMAINDER OF THIS DIRECTIVE. THEREFORE, ADDITIONS AND DELETIONS ARE MADE FOLLOWING THE FPM.

SSIC 12000-12099

GENERAL CIVILIAN PERSONNEL RECORDS

SSIC 12000

GENERAL CIVILIAN PERSONNEL RECORDS

1. PRIMARY PROGRAM RECORDS RELATING TO THE DEVELOPMENT, IMPLEMENTATION, AND OVERALL ADMINISTRATION OF NAVY AND MARINE CORPS-WIDE POLICIES, PROCEDURES, AND PROGRAMS PERTAINING TO CIVILIAN PERSONNEL ADMINISTRATION. These records are accumulated only in offices responsible for the establishment and/or administration of Navy-wide policies and programs, such as the Secretary of the Navy (SECNAV), the Assistant Secretary of the Navy (Manpower and Reserves Affairs) (ASSTSECNAV MRA), the Commandant of the Marine Corps (CMC), and the Human Resources Operations Center (HROC). Records relate to the establishment, approval, and implementation of Navy-wide policies and procedures pertaining to position classification, wage administration, employee relations, awards and other incentives, performance

appraisal systems, equal employment opportunity (EEO) programs, and personnel record keeping.

Permanent. Transfer to Washington National Records Center (WNRC) when 3 years old. Offer to NARA when 20 years old.

2. GENERAL CORRESPONDENCE. Records are accumulated in connection with the routine, day-to-day administration and operation of Navy civilian personnel programs. These records accumulate primarily at operating civilian personnel offices (CPOs), but they may also be accumulated by higher echelon offices in connection with their routine, day-to-day operations. These records include:

a. Correspondence Relating to Specific Personnel Actions (Except for Files Relating to Precedental and/or Highly Significant Actions Accumulated by Higher Echelon Offices Responsible for Navy-wide Policies, which should be filed under SSIC 12000, paragraph 1).

b. Routine Requests for Information concerning Navy Civilian Personnel Policies that Do Not Involve the Establishment or Revision of Policy.

c. Comments on Directives, Studies, Reports, and Other Issuances Accumulated by Offices Not Responsible for their Preparation.

d. Issuances Prepared by Lower Echelon Offices that Merely Transmit or Adapt for Local Conditions Policies and Procedures Established by Higher Level Offices.

e. Copies Retained by Preparing Offices of Reports and Statistical Data Submitted to Higher Echelon Offices, with Related Feeder Materials and Background Papers.

Destroy according to SSICs for specific general correspondence files in this chapter. For general correspondence not covered elsewhere in this chapter, destroy when 3 years old.

SSIC 12100-12199

OFFICE OF PERSONNEL MANAGEMENT RECORDS

SSIC 12171

OFFICE OF PERSONNEL MANAGEMENT ISSUANCE SYSTEM RECORDS

1. CORRESPONDENCE DEALING WITH THE EXPLANATION AND ACQUISITION OF THE

DIRECTIVES ISSUANCE SYSTEM WHICH INCLUDES OPM OPERATING MANUALS, OPM NOTICE AND POSTING SYSTEM GUIDANCE AND OTHER OPM/NAVY ISSUANCES.

Destroy when superseded or obsolete.

SSIC 12200-12299

PERSONNEL PROVISIONS RECORDS

SSIC 12200

GENERAL PERSONNEL PROVISIONS RECORDS

1. RECORDS NOT COVERED BY OTHER SSICs IN THE 12200 SERIES.

Destroy when no longer required for current operations.

SSIC 12210

GENERAL BASIC CONCEPTS AND DEFINITIONS RECORDS

1. FILES DEALING WITH DEFINING, STANDARDIZING, AND UTILIZING PERSONNEL TERMINOLOGY.

Destroy when obsolete or superseded.

SSIC 12211

VETERAN PREFERENCE RECORDS

1. RECORDS PERTAINING TO ENTITLEMENT OF INDIVIDUAL PERSONNEL TO VETERANS PREFERENCE, ADMINISTRATION OF PREFERENCE, AND PREFERENCE PRESERVED, LOST OR CHANGED.

File on right side of Official Personnel Folder (OPF).

SSIC 12212

COMPETITIVE SERVICE AND COMPETITIVE STATUS RECORDS

1. RECORDS RELATING TO THE EXTENT OF COMPETITIVE SERVICE AND VARIATIONS.

File on right side of OPF.

2. RECORDS RELATING TO ELIGIBILITY, DETERMINATION, AND CANCELLATION OF COMPETITIVE STATUS. Records generated and are maintained on the right side of the OPF and include the

following:

- Proof of appointment: Appointment Affidavits Standard Form (SF) 61), Declaration of Appointee (SF 61B)
- Request for Non-Competitive Action (SF 59)
- OPM letter cancelling competitive status
- OPM letter verifying competitive status, veteran preference or service history
- OPM letter disapproving a personnel action
- OPM letters authorizing waiver or exceptions from provisions of OPM rules and regulations
- Reduction-in-force notice
- Request for Personnel Action (SF 52)
- Statement of acceptance into Presidential Management Intern Program documenting employee's leaving the competitive service to accept appointment in the excepted service.

File on right side of OPF.

SSIC 12213

EXCEPTED SERVICE RECORDS

1. GENERAL CORRESPONDENCE, REPORTS, AND OTHER RECORDS RELATING TO EMPLOYMENT PROGRAMS AND FUNCTIONS OF EXCEPTED POSITIONS.

Destroy when 3 years old.

SSIC 12230

ORGANIZATIONS OF THE GOVERNMENT FOR PERSONNEL MANAGEMENT RECORDS

1. RECORDS RELATING TO PLANNING, ORGANIZING, DIRECTING, COORDINATING, AND CONTROLLING ALL PERSONNEL MANAGEMENT PROGRAMS CONDUCTED WITHIN THE DON. (Exclude primary program records filed under SSIC 12000, paragraph 1.)

Apply SSIC 12000, para. 2.

SSIC 12250

PERSONNEL MANAGEMENT IN AGENCIES RECORDS

1. GENERAL POLICY ON CIVILIAN MANPOWER MANAGEMENT INCLUDING ESTABLISHING AND DISESTABLISHING CIVILIAN PERSONNEL OFFICES (CPOs), POLICY REGARDING INTERSERVICE SUPPORT, AND GUIDELINES FOR LOGISTICS SUPPORT OF CPOs.

Apply SSIC 12000, para. 1.

SSIC 12251

**INTRAMANAGEMENT COMMUNICATIONS AND
CONSULTATIONS RECORDS**

1. RECORDS RESULTING FROM EXCHANGES OF INFORMATION ON CIVILIAN PERSONNEL MANAGEMENT WITH MANAGERS, SUPERVISORS, AND MANAGER/SUPERVISOR ASSOCIATIONS. Records include written correspondence, memoranda, information updates, comments, and reports.

Destroy when 3 years old.

SSIC 12252

**PROFESSIONAL OR OTHER ASSOCIATIONS
RECORDS**

1. RECORDS RELATING TO DON'S RELATIONSHIP WITH PROFESSIONAL ASSOCIATIONS CONCERNED WITH CIVILIAN PERSONNEL MANAGEMENT. Includes records relating to the allotment and payment of dues.

Destroy when 3 years old.

SSIC 12271

**DEVELOPING POLICIES, PROCEDURES,
PROGRAMS, AND STANDARDS RECORDS**

1. STANDARDS DEVELOPMENT RECORDS. Records relating to objectives and concepts of standards development such as classification, qualification, and physical standards and the use of personnel measurement methods.

a. Records Accumulated by Offices Responsible for Establishing Navy-wide Policies.

Permanent. Transfer to WNRC when 4 years old. Offer to NARA when 20 years old.

b. Records Accumulated by Other Offices.

Retain on board. Destroy when superseded, obsolete, or no longer needed.

SSIC 12272

**PERSONNEL POLICY FORMULATION AND
PERSONNEL ISSUANCES RECORDS**

1. OFFICIAL ORGANIZATION CHARTS, NARRATIVE HISTORIES, AND RELATED RECORDS WHICH DOCUMENT THE ORGANIZATION AND FUNCTIONS OF THE OFFICE.

a. Record Copy.

Permanent. Transfer to Federal Records Center (FRC) when superseded or obsolete. Offer to NARA when 20 years old.

b. All Other Copies.

Destroy when superseded or obsolete.

2. DIRECTIVE CASE FILES.

a. Record Copy of Directives that Establish Civilian Personnel Policies within Navy with Supporting Case File, if any, Documenting Important Aspects of the Development of the Issuance. These records are accumulated only in offices responsible for establishing Navy-wide policies and programs, such as SECNAV, ASSTSECNAV MRA, CMC, and HROC (and its predecessors).

Permanent. Transfer to FRC when superseded or obsolete. Offer to NARA when 20 years old.

b. Working Papers and Background Material. Any documents that are developed before a directive is formally signed and published and not included in the directive case file.

Destroy 6 months after final action or 3 years after completion if no final action is taken.

SSIC 12273

**PERSONNEL MANAGEMENT EVALUATIONS
RECORDS**

1. CORRESPONDENCE AND REPORTS RESULTING FROM A CIVILIAN PERSONNEL MANAGEMENT EVALUATION OR SPECIAL REVIEW CONDUCTED BY OPM, DON, A MAJOR CLAIMANT OR A LOCAL ACTIVITY.

Destroy when no longer needed for administrative reference purposes.

SSIC 12274

CORRECTIVE ACTIONS RECORDS

1. CASE FILES. Records relating to actions taken to correct erroneous personnel actions.

Destroy 4 years after case is closed.

SSIC 12290

GENERAL PERSONNEL INFORMATION RECORDS

1. CORRESPONDENCE AND INSTRUCTIONS
DESIGNED TO GUIDE AGENCIES IN THE USE OF
AUTOMATED DATA PROCESSING AND
PERSONNEL ADMINISTRATION.

Destroy when 3 years old.

SSIC 12291

PERSONNEL REPORTS RECORDS

1. RECORDS PERTAINING TO RECURRING
REPORTS. Records required by OPM to develop,
improve, or maintain certain programs such as
notification of personnel action, EEO action plans, etc.

Destroy when 5 years old or no longer needed,
whichever is earlier.

SSIC 12292

PERSONNEL DATA STANDARDIZATION RECORDS

1. RECORDS PERTAINING TO THE
STANDARDIZATION OF DATA ELEMENTS IN
ORDER THAT IDENTICAL DATA IN VARIOUS
SYSTEMS ARE UNIFORMLY IDENTIFIED,
DEFINED, CODED AND SEQUENCED.

Destroy when 5 years old or superseded, whichever is
earlier.

SSIC 12293

PERSONNEL RECORDS AND FILES RECORDS

1. THE OPF OF A CIVILIAN EMPLOYEE OF THE
FEDERAL GOVERNMENT DURING HIS OR HER
TENURE OF SERVICE WITH THE GOVERNMENT
(INCLUDING NONAPPROPRIATED FUND
EMPLOYEE PERSONNEL RECORDS).

a. Long-term (Permanent) Records which are Filed
on the Right or Permanent Side of the Folder (Official
Personnel Folder (SF 66)).

(1) Folders covering periods of employment
terminated prior to 1 January 1921.

Submit SF 115 to National Archives.

(2) Folders covering periods of employment
terminated after 31 December 1920, excluding those
selected by the NARA for permanent retention.

(a) Transferred employees.

See FPM for instructions relating to folders of
employees transferred to another agency.

(b) Separated employees.

Transfer folder to National Personnel Records Center
(NPRC), Civilian Personnel Records (CPR), St.
Louis, MO 63118-4199, 30 days after separation.
NPRC will destroy 65 years after separation.

b. Temporary Records Which are Filed on Left Side
of the Folder. These records are maintained at naval
activities per FPM 293 and FPM Supplement 293-31.

With the exception of performance records (see SSIC
12430, para. 2), destroy upon separation or transfer
of employee from DON or when 1 year old,
whichever is sooner (if employee separates for
military service or transfers to another agency as a
result of a transfer of function, leave required
temporary material in the folder).

2. OPFs FOR NON-CITIZEN INDIGENOUS
INDIRECT-HIRE EMPLOYEES AT ACTIVITIES
LOCATED OUTSIDE THE 50 UNITED STATES AND
THE DISTRICT OF COLUMBIA. Long-term
(permanent) records which are filed on the right or
permanent side of the folder (SF 66) and temporary
records which are filed on the left side of the folder and
maintained at naval activities per FPM 293 and FPM
Supplement 293-31.

Purge and destroy temporary material and transfer
folder to NPRC (CPR), St. Louis, MO, 2 years after
separation (service employee no longer utilized by the
naval establishment). Destroy 3 years after transfer.

3. PERSONNEL SUMMARY CARD RECORDS.

a. Employee Record (SF-7B). Maintained by
operating officials at naval activities following FPM
Supplement 293-31.

(1) Employee moves outside the naval
establishment.

Destroy upon transfer or separation.

(2) Employee moves within the naval establishment.

Transfer with the OPF.

b. Service Record Cards (SF-7). Established and maintained at naval activities following FPM Supplement 293-31.

(1) Cards for employees separated or transferred on or after 1 January 1948.

Transfer to NPRC (CPR), St. Louis, MO. Destroy 60 years after earliest personnel action.

(2) Cards for employees separated or transferred on or after January 1, 1948.

Destroy 3 years after separation or transfer to another agency.

4. LOCATOR FILE CARDS. Files at naval activities used to locate employees.

Destroy when employee is separated from activity.

SSIC 12294

AVAILABILITY OF OFFICIAL INFORMATION RECORDS

1. RECORDS WHICH SET FORTH POLICY, RESPONSIBILITIES, AND PROCEDURES FOR MAKING DON RECORDS AVAILABLE TO THE PUBLIC (Exclude record copies of formal issuances maintained by offices responsible for establishing Navy-wide policies).

Destroy when superseded or cancelled.

SSIC 12295

PERSONNEL FORMS AND DOCUMENTS RECORDS

1. OPERATING PERSONNEL OFFICE RECORDS RELATING TO INDIVIDUAL EMPLOYEES NOT MAINTAINED IN OPFs AND NOT PROVIDED FOR ELSEWHERE IN THIS SCHEDULE.

a. Correspondence and Forms Relative to Pending Personnel Action.

Destroy when action is completed.

b. Retention Registers.

(1) Registers from which reduction in force actions have been taken.

Destroy when 2 years old.

(2) Registers from which no reduction in force

actions have been taken.

Destroy when superseded or obsolete.

c. All Other Correspondence and Forms.

Destroy when 6 months old.

SSIC 12296

PROCESSING PERSONNEL ACTION AND DATA RECORDS

1. NOTIFICATION OF PERSONNEL ACTION (SF 50), EXCLUSIVE OF THOSE IN OPFs.

a. Chronological File Copies Including Fact Sheets. Files maintained at naval activities following FPM Supplement 293-31.

Destroy when 2 years old.

b. All Other Copies (Exclusive of Fiscal Copies). Files maintained at naval activities following FPM Supplement 293-31.

Destroy when 1 year old.

SSIC 12297

PROTECTION OF PRIVACY AND PERSONNEL RECORDS

1. RECORDS WHICH SET FORTH POLICY ON THE PROTECTION OF INDIVIDUAL PRIVACY IN REGARD TO PERSONNEL RECORDS MAINTAINED BY DON. (Exclude record copies of formal issuances maintained by offices responsible for establishing Navy-wide policies.)

Destroy when superseded or obsolete.

SSIC 12298

FEDERAL WORKFORCE INFORMATION SYSTEM RECORDS

1. CORRESPONDENCE MANUALS, DATA ELEMENT DICTIONARIES, AND INSTRUCTIONS RELATING TO AUTOMATED FILES OF INDIVIDUAL RECORDS FOR MOST FEDERAL CIVILIAN EMPLOYEES MAINTAINED BY AGENCY CONTINUOUS INPUT WHICH PROVIDE CAPABILITY FOR OBTAINING STATUS OR DYNAMIC OUTPUTS IN A COMPREHENSIVE AND TIMELY MANNER.

Destroy when superseded, obsolete, or no longer needed.

a. Current records.

(1) Automated civilian personnel databases with a record for each indirect and direct hire DON employee paid from appropriated and industrial funds. Permanent history files and maintained on automatic data processing (ADP) media at the Navy Civilian Personnel Data System (NCPDS) Customer Facility and other Navy facilities.

Destroy when no longer needed.

(2) Paper copies of individual records (SF 50s and associated documents) are maintained in OPFs. Privacy Act information will be per relevant policies and instructions.

Apply SSIC 12293.

b. Source Documents for Input and Proposed Personnel Action Requests and Request and Authorization for Training. Input is Notification Personnel Action (SF 50) and completed Request, Authorization, Agreement, Certification of Training and Reimbursement (DD 1556).

Apply SSIC 12293.

SSIC 12300-12399

EMPLOYMENT RECORDS

SSIC 12300

GENERAL EMPLOYMENT RECORDS

1. OPM RECORDS.

a. OPM Applications, Examination Papers, and Related Papers for Federal Employment in the Field. Cancelled or submitted by ineligible applicants, applicants whose eligibility has expired, or applicants on expired eligible registers.

Destroy per OPM instructions.

b. Original OPM Registers and Notices to Establish or Dispose of OPM Register. Established after open competitive examination for positions in all groups.

Destroy per OPM instructions.

2. CERTIFICATES OF ELIGIBLES FILES. Certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over an eligible with veterans preference and selecting an eligible lacking veterans preference.

Destroy when 2 years old.

3. REQUEST FOR PERSONNEL ACTION (SF-52). SF-52 and related papers pertaining to actions not consummated. (Exclude any copies required to be filed as permanent or temporary records in OPF.)

a. Requesting Office Copy.

Destroy upon completion of action.

b. All Other Copies.

Destroy when 1 year old.

4. REQUEST FOR CERTIFICATION. Request to OPM for certification of eligibility for OPM registers.

Destroy 2 years after date of certificate.

5. EMPLOYMENT AND FINANCIAL INTEREST. Statement forms and documents prescribed by SECNAVINST 5370.2J, Subj: Standards of Conduct and Government Ethics.

Destroy when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.

6. PROCESSING RECORDS OF INDIVIDUALS SELECTED FOR OVERSEAS EMPLOYMENT. Copies of travel orders, rotation, agreements, overseas recruitment requisition (comparable to SF 52), SF 50, statement signed by employee acknowledging receipt and understanding of statement of living and working conditions for the overseas area, and miscellaneous correspondence developed during processing.

Destroy 5 years after entry on duty (EOD) date at the overseas activity or upon expiration of an approved extension to the 5-year foreign service limitation, if applicable.

7. EMPLOYMENT APPLICATIONS. Applications, including OF 612, resumes, and any other application

that an agency may develop for unique jobs with specialized requirements, and related records, EXCLUDING, records relating to appointments requiring Senatorial confirmation and applications resulting in appointment which are filed in the OPF.

Destroy upon receipt of OPM inspection report or when 2 years old, whichever is earlier.

8. EXAMING AND CERTIFICATION RECORDS. Delegated agreements and related records created under the authority of 5 U.S.C 1104 between the Office of Personnel Management and agencies, allowing for the examination and certification of applicants for employment.

a. Delegated agreements.

Destroy 3 years after termination of agreement.

b. Correspondence concerning applications, eligibles certification, and all other examining and recruiting operations including, but not limited to, correspondence from the Congress, White House, and general public, and correspondence regarding accommodations for holding examinations and shipment of test materials.

Cut off annually. Destroy 1 year after cut off.

c. Test material stock control. Stock control records of examination test material including running inventory of test material in stock.

Destroy when test is superseded or obsolete.

d. Application Record Card (OPM Form 5000A, or equivalent).

Cut off after examination. Destroy no later than 90 days after cut off.

e. Examination Announcement Case Files. Correspondence regarding examination requirements, original drafts of examination, and announcements issued EXCLUDING records concerning qualification standards, job specifications, and their development.

Destroy 5 years after termination of related register.

f. Register of eligibles (OPM Form 5001-C or equivalent, documenting eligibility of an individual for Federal jobs).

Cut off records on individuals with terminated eligibility annually. Destroy 5 years after cutoff. When entire register is terminated, destroy 5 years after termination date. (Registers established under

case examining: Destroy after audit by local OPM service center or 90 days after final action is taken on the certificate, whichever is sooner.)

g. Letters to applicants denying transfer of eligibility (OPM Form 4896 or equivalent).

Cut off annually. Destroy 1 year after cut off.

h. Canceled and ineligible applications, supplemental forms, and attachments.

Ineligible applications may be returned to the applicant with the notice of ineligibility, unless otherwise directed by the local OPM area office. Destroy ineligible applications not returned and canceled applications 90 days after date of action or when register is terminated, whichever is sooner.

i. Test Answer Sheets. Written test answer sheets for both eligibles and ineligibles. Filed by date of processing.

Destroy when 6 months old.

j. Lost or Exposed Test Material Case Files. Records showing the circumstances of loss, nature of the recovery action, and corrective action required.

Cut off files annually. Destroy 5 years after cut off.

k. Eligible applications.

(1) On active register.

Destroy upon termination of the register (except applications that may be brought forward to new register, if any).

(2) On inactive register.

Destroy 1-12 months after eligibles are placed on inactive register, depending on space availability and difficulty of replacing the application for restoration.

l. Request for prior approval of personnel actions taken by agencies on such matters as promotion, transfer, reinstatement, or change in status, submitted by SF 59, OPM 648, or equivalent form.

Cut off annually. Destroy 1 year after cut off.

m. Certificate Files. SF 39, SF 39A, or equivalent, and all papers upon which the certification was based: detailed rating schedule, record of selective and quality ranking factors used, list of eligibles screened for the vacancies, rating assigned, availability statements, and other documentation material designated by the examiner

of retention. It is recommended that both the file copy and the audited report copy of the certificate be kept in this file. Files should be arranged to permit reconstruction or validation of actions taken in the event of appeal or legal action.

Cut off annually. Destroy 5 years after cut off.

n. Certification request control index.

Cut off annually. Destroy 1 year after cut off.

o. Interagency Placement Program (IPP) application and registration sheet.

Destroy upon expiration of employee's DEP eligibility.

p. DEP control cards, if maintained.

Cut off annually. Destroy 2 years after cut off.

q. Reports of audits of delegated examining operations.

Destroy 3 years after date of the report.

SSIC 12301

OVERSEAS EMPLOYMENT RECORDS

1. FILES RELATING TO THE RECRUITMENT OF PERSONNEL FOR OVERSEAS POSITIONS AND THE PLACEMENT OF PERSONNEL ON THEIR RETURN FROM OVERSEAS POSITIONS. (See also SSIC 12300, paragraph 6.)

Destroy when 3 years old.

SSIC 12302

EMPLOYMENT IN THE EXCEPTED SERVICE RECORDS

1. CORRESPONDENCE, REPORTS, MEMORANDA, AND OTHER RECORDS RELATING TO EXCEPTED POSITIONS.

Destroy when 3 years old.

SSIC 12304

EMPLOYMENT OF EXPERTS AND CONSULTANTS RECORDS

1. CORRESPONDENCE, REPORTS, MEMORANDA, AND OTHER RECORDS RELATING TO EXPERTS

AND CONSULTANTS.

Destroy when 3 years old.

SSIC 12306

SELECTIVE PLACEMENT PROGRAM RECORDS

1. FILES RELATING TO THE PROGRAMS AND POLICY ON HIRING OF HANDICAPPED PERSONS, DISABLED VETERANS, AND REHABILITATED OFFENDERS.

Destroy when 3 years old.

2. HANDICAPPED INDIVIDUALS APPOINTMENT CASE FILES. Case files containing position title and description; fully executed SF 171; medical examiner's report; a brief statement explaining accommodation of impairment; and other documents related to previous appointment, certification, and/or acceptance or refusal, created in accordance with Federal Personnel Manual, chapter 306-11, subchapter 4-2.

Destroy 5 years following the date of approval or disapproval of each case.

SSIC 12307

TRANSITIONAL AND VETERANS READJUSTMENT APPOINTMENTS RECORDS

1. FILES RELATING TO THE GENERAL ADMINISTRATION AND OPERATION OF PERSONNEL PROGRAMS FOR THE SELECTIVE PLACEMENT OF VETERANS PROGRAMS.

Destroy when 3 years old.

SSIC 12308

YOUTH AND STUDENT EMPLOYMENT PROGRAM RECORDS

1. FILES RELATING TO THE GENERAL ADMINISTRATION AND OPERATION OF YOUTH AND STUDENT EMPLOYMENT PROGRAMS. (Include records relating to college programs, special career programs, summer aide programs intergovernmental affairs, fellowships, and stay in school programs.)

Destroy when 3 years old.

SSIC 12309

HOSTING ENROLLES OF FEDERAL GRANT

PROGRAMS RECORDS

1. WORK INCENTIVES PROGRAM (WIN), COLLEGE WORK-STUDY PROGRAM, VOCATIONAL EDUCATION WORK-STUDY PROGRAM, OLDER AMERICAN COMMUNITY SERVICE EMPLOYMENT PROGRAM, AND PROGRAMS UNDER THE COMPREHENSIVE EMPLOYMENT AND TRAINING ACT (CETA). (Include working agreements and letters of confirmation, records associated with cost sharing arrangements, and records related to the administration of the programs.)

Destroy when 4 years old.

SSIC 12310

EMPLOYMENT OF RELATIVES RECORDS

1. RECORDS RELATING TO THE LEGAL AND REGULATORY FRAMEWORK GOVERNING THE EMPLOYMENT OF RELATIVES IN THE FEDERAL SERVICE.

Destroy when obsolete or superseded.

SSIC 12311

POWER OF APPOINTMENT AND REMOVAL RECORDS

1. RECORDS DELEGATING AUTHORITY TO OFFICIALS TO DIRECT AND EFFECT APPOINTMENTS AND SUSPENSIONS OF CIVILIAN PERSONNEL.

a. CNO and CMC.

Transfer to WNRC when obsolete or superseded.
Destroy 20 years after obsolescence or supersession.

b. Records of Field Activities.

Destroy when superseded or obsolete.

SSIC 12312

POSITION MANAGEMENT RECORDS

1. INTERNAL EVALUATION REPORTS.

Destroy when 3 years old.

2. OTHER REPORTS.

Destroy when 3 years old.

SSIC 12315

CAREER AND CAREER-CONDITIONAL EMPLOYMENT RECORDS

1. RECORDS RELATED TO GENERAL ELIGIBILITY OF POST-AUDIT, DEFINITION OF NONCOMPETITIVE, CORRECTIVE ACTION, CAREER APPOINTMENT, PROBATIONARY PERIOD, AND RELATED RECORDS.

Destroy upon separation or transfer of employee or when 2 years old, whichever is earlier.

SSIC 12316

TEMPORARY EMPLOYMENT RECORDS

1. RECORDS MAINTAINED BY AGENCY IN THE OPF SO THAT INSPECTORS MAY RECONSTRUCT THE ACTION AND A REVIEW BY THEM WILL SHOW QUALIFICATIONS STANDARDS USED, NECESSARY TRAINING AND EXPERIENCE, AND FACTS WHICH ESTABLISH THE CORRECTNESS OF THE ACTION. Records generated and maintained on the left side of the OPF and include the following:

- Position descriptions
- Notice of rating
- Notice of proficiency-inquiries of availability
- Travel agreements
- Offer letters and acceptances
- Request for Personnel Action (SF-52)
- Employee's memorandum describing outside employment

Apply SSIC 12293.

SSIC 12330

GENERAL RECRUITMENT, SELECTION, AND PLACEMENT RECORDS

1. INTERVIEW AND EVALUATION RECORDS. Notes, etc., made by the interviewer. Records made on employees who are not selected or who decline employment or on employees who are hired. (Exclude examination papers filed in OPF.)

a. Merit Staffing.

Destroy when 2 years old.

b. All Others.

Destroy 6 months after transfer or separation.

2. OFFERS OF EMPLOYMENT. Correspondence, letters, and telegrams offering appointments to potential employees.

a. Accepted Offers.

Destroy when no longer needed.

b. Declined Offers.

(1) When name is received from certificate of eligibles.

Return to OPM with reply and application.

(2) Temporary or excepted appointment.

File inside application and dispose of according to SSIC 12330, para. 3.

(3) All Others.

Destroy immediately.

3. APPLICATIONS FOR EMPLOYMENT.
Applications and related papers. (Exclude records relating to appointments and requiring Senatorial confirmation and applications resulting in appointment filed in the OPF which are retained for future use or required by the applicant supply system.)

Destroy upon receipt of OPM report of inspection or when 2 years old, providing requirements of FPM Chapter 333 and Civilian Personnel Instruction (CPI) 335 are observed.

SSIC 12332

RECRUITMENT AND SELECTION THROUGH COMPETITIVE EXAMINATION RECORDS

1. RECORDS RELATING TO RECRUITMENT AND SELECTION THROUGH COMPETITIVE EXAMINATIONS. Records relate to such subjects as the geographic scope of competition, methods of recruitment, and selection of personnel for summer employment, student training, and short-term employment.

Destroy when 3 years old.

SSIC 12333

RECRUITMENT AND SELECTION FOR TEMPORARY AND TERM APPOINTMENT OUTSIDE THE REGISTER

1. RECORDS THAT ARE MAINTAINED FOR ALL

POSITIONS WHICH HAVE BEEN FILLED OR FOR WHICH APPLICATIONS ARE BEING ACCEPTED FOR TEMPORARY AND TERM APPOINTMENT OUTSIDE THE REGISTER. Include:

- Positions for which recruitment was made for temporary/term appointment
- Record of opening and closing dates of announcements
- Copies of SF-171 received for each announcement
- Record of referral and selection of applicants
- Record of recruitment efforts

Maintain for a period of 2 years or until an OPM inspection, whichever occurs first. Authority established by FPM 333.

SSIC 12334

TEMPORARY ASSIGNMENT OF EMPLOYEES BETWEEN EXECUTIVE AGENCIES AND STATES, LOCAL GOVERNMENTS, AND INSTITUTIONS OF HIGHER EDUCATION RECORDS

1. RECORDS PERMITTING FEDERAL CIVILIAN EMPLOYEES OF EXECUTIVE AGENCIES TO SERVE

WITH STATE OR LOCAL GOVERNMENT, ETC., WITHOUT LOSS OF EMPLOYEE RIGHTS OR BENEFITS.

Destroy after term of temporary appointment or when 2 years old, whichever is later.

SSIC 12335

PROMOTION AND INTERNAL PLACEMENT RECORDS

1. NOTIFICATION OF PERSONNEL ACTION (SF 50). Files documenting promotions and transfers (in and out).

a. Chronological File Copies Maintained in the Personnel Office.

Destroy when 2 years old.

b. All Other Copies Maintained in the Personnel Office.

Destroy when 1 year old.

SSIC 12337

EXAMINING SYSTEM RECORDS

1. FORMS AND RECORDS SUCH AS EXAMINATION RESULTS, RATINGS, CERTIFICATIONS AND SF 171s.

Destroy 4 years after separation or transfer of employee.

SSIC 12338

GENERAL QUALIFICATION REQUIREMENTS RECORDS

1. QUALIFICATION STANDARDS FILES.

a. **Standards.** OPM standards determining title, series, and grade based on duties, responsibilities, and qualifications requirements.

Destroy when superseded or obsolete.

b. **Development.** Memoranda, correspondence, and other records relating to the development of standards for classification of positions peculiar to the agency and OPM approval or disapproval.

(1) Case Files.

Destroy 5 years after position is abolished or description is superseded.

(2) Review Files.

Destroy when 2 years old.

SSIC 12339

MEDICAL QUALIFICATION REQUIREMENTS RECORDS

1. RECORDS COVERING PLANS, POLICIES, AND PROCEDURES FOR DETERMINING MEDICAL QUALIFICATION REQUIREMENTS IN CONNECTION WITH FEDERAL EMPLOYMENT.

Destroy when obsolete or superseded.

SSIC 12340

PART-TIME EMPLOYMENT RECORDS

1. EMPLOYMENT RECORDS. Files related to employment of part-time work force.

Destroy 2 years after separation or transfer of employee.

2. CIVILIAN PERSONNEL PROMOTION CERTIFICATES, ROSTERS, AND RATING SHEETS REQUIRED BY OPM.

Destroy when 2 years old or upon completion of OPM inspection, whichever is later.

SSIC 12351

REDUCTION IN FORCE RECORDS

1. REDUCTION IN FORCE. Retention registers, cards and related papers which reduction in force actions have been taken, established, and maintained per Chapter 351, Section A, of the FPM.

Destroy when 2 years old.

SSIC 12352

REEMPLOYMENT RIGHTS RECORDS

RECORDS GOVERNING THE RIGHTS TO REEMPLOYMENT GRANTED TO CIVILIAN EMPLOYEES WHEN THEY TAKE OTHER CIVILIAN EMPLOYMENT SUCH AS TRANSFER TO INTERNATIONAL ORGANIZATIONS OR TRANSFER BETWEEN AGENCIES DURING AN EMERGENCY.

1. PERSONNEL CORRESPONDENCE AND SUBJECT FILES. Files consisting of correspondence, reports,

memoranda, or other records relating to reemployment rights.

Destroy when 5 years old.

SSIC 12353

RESTORATION TO DUTY RECORDS

1. RECORDS RELATING TO THE RESTORATION TO DUTY OF EMPLOYEES WHO SUSTAIN A COMPENSABLE JOB-RELATED INJURY OR DISABILITY.

Destroy when 5 years old.

SSIC 12361

CAREER INTERN PROGRAMS RECORDS

1. RECORDS RELATING TO CAREER INTERN DEVELOPMENT AND EVALUATION PROGRAMS FROM ENTRY LEVEL TO FULL PERFORMANCE LEVEL AT ACTIVITY.

Destroy when no longer needed.

SSIC 12362

PRESIDENTIAL MANAGEMENT INTERN PROGRAM RECORDS

1. RECORDS RELATING TO THE PRESIDENTIAL MANAGEMENT INTERN PROGRAM ESTABLISHED BY EXECUTIVE ORDER 12008 IN AUGUST 1977. Files relating to the general administration and operation of the Presidential Management Intern Program including special career programs and executive development programs.

Destroy when 3 years old.

SSIC 12400-12499

EMPLOYEE PERFORMANCE AND UTILIZATION AND CIVILIAN CAREER MANAGEMENT PROGRAM RECORDS

SSIC 12410

TRAINING RECORDS

1. ACTIVITY-WIDE TRAINING PLANS. Computer print-outs or other listings covering all learning experiences planned for employees on an annual basis at preparing activities.

Destroy 3 years after completion of the annual period or when no longer required for activity review and/or analysis, whichever is later.

2. TRADE TRAINING PLANS. Records relating to apprentice, shop trainee, helper-to-journeyman, and other on-the-job training programs, including authorizations to establish such programs at preparing activities and headquarters offices.

Destroy when no longer needed for reference.

3. RECORDS OF PROGRESS OF APPRENTICES AND SHIP TRAINEES. Records accumulated at preparing activities covering progress of apprentices in both on-the-job and classroom training and related information.

Destroy 1 year after apprentice or shop trainee completes or drops out of the program.

4. NOTICE AND WARNINGS OF UNSATISFACTORY PERFORMANCE. Written notices and warnings of marginal or unsatisfactory progress of apprentices and shop trainees at preparing activities.

Destroy when apprentice or shop trainee satisfactorily completes the apprentice or shop trainee year, or 1 year after the individual is dropped from training, whichever is earlier.

5. WORK EXPERIENCE SCHEDULES. Continuous appraisal which describes the performance of apprentices and shop trainees in each element of the trade at preparing activities.

Destroy 1 year after apprentice or shop trainee completes the training or is dropped from the program.

6. QUARTERLY PROGRESS RECORDS. Quarterly appraisals of the performance of apprentices or shop trainees at preparing activities.

Destroy 3 years after date of appraisal.

7. REQUESTS FOR TRAINING IN NON-GOVERNMENT FACILITIES. All forms and related papers concerning requests for training in non-government facilities at preparing activities.

Destroy 2 years after completion of all training or when all obligated service requirements have been satisfied, whichever is later.

8. OBLIGATED SERVICE AGREEMENTS. Documents which set forth the period of obligated service for employees who obtain training in non-government facilities. These documents are normally filed on the temporary (left) side of personnel folders but may be filed on the permanent (right) side of the personnel folder if the employee fails to fulfill service obligations at preparing activities.

Destroy 2 years after fulfillment of service agreement, or file on right side of personnel folder.

9. PERMANENT TRAINING RECORDS. Training documents include: records of satisfactory completion of training agreement approved by the OPM; scholarship or award authorizations; authorization to accept payments in connection with attendance at meetings; waivers of limitations on training in non-government facilities; and cumulative records of training.

a. Employee Development (ED) Subsystem of NCPDS. ED Subsystem maintains 20 completed instances of training. When instance 21 is recorded, an Official Record of Training (ORT) is produced containing previous 20 instances. Also, whenever an employee is terminated, transfers, retires, etc., an ORT is produced as the file is closed.

(1) Permanent history ED Subsystem files are maintained on ADP media at NCPDS Customer Facility and other Navy facilities.

Destroy when no longer required.

(2) ORTs generated by ED Subsystem.

File on right side of OPF.

b. Activities not using ED Subsystem, paper copies of training documents.

File on right side of OPF.

10. NOMINATING DOCUMENTS RELATING TO REQUESTS FOR LONG-TERM (120 OR MORE DAYS) TRAINING. Nominating and/or endorsement letters, transcripts, funding request forms, resumes, and related documents at preparing activities.

Destroy 5 years after completion of training.

11. OTHER FORMS AND CORRESPONDENCE. Forms and correspondence relating to training, routine requests for training information, and documents of a transitory nature which are not authorized for filing on the permanent side of personnel folders at preparing activities.

Destroy after completion or discontinuance of training.

12. TRAINING AIDS.

a. One Copy of Each Manual, Syllabus, Textbook, and Other Training Aid Developed by the Navy.

Destroy 20 years after supersession.

b. Training Aids from Other Agencies or Private Institutions.

Destroy when obsolete or superseded.

13. GENERAL FILE OF NAVY-SPONSORED TRAINING.

a. Correspondence, Memoranda, Agreements, Authorizations, Reports, Requirement Reviews, Plans, and Objectives Relating to the Establishment and Operation of Training, Courses, and Conferences.

Destroy when 5 years old, or 5 years after completion of a specific training program.

b. Background and Work Papers.

Destroy when 3 years old.

14. EMPLOYEE TRAINING FILES. Correspondence, memoranda, reports, and other records relating to the availability of training and employee participation in training programs sponsored by other government agencies or non-government institutions.

Destroy when 5 years old, superseded, or obsolete, whichever is earlier.

15. COURSE ANNOUNCEMENT FILES. Reference files of pamphlets, notices, catalogs, and other records which provide information on courses or programs offered by government or non-government organizations.

Destroy when superseded or obsolete.

SSIC 12412

EXECUTIVE MANAGEMENT/SUPERVISORY TRAINING AND DEVELOPMENT RECORDS

1. SECRETARY OF THE NAVY (SECNAV) CAREER FELLOWSHIPS. Documents that contain nominations for SECNAV Career Fellowships which contain employment experience, education background, identifying information, comments on significant professional/civic activities/organizations, data on selected educational institutions, training objectives, training through non-government facilities, summary request for support of long-term training, nominee's individual training and development plan, undergraduate college transcript, other transcripts, and other pertinent items in support of the nomination and correspondence containing endorsements and nominees and selection or non-selection by appropriate Assistant SECNAV used to select SECNAV Career Fellows at initiating activity and receiving activity.

a. If Approved.

Destroy 2 years after notification of approval of nominee.

b. If Disapproved.

Destroy 1 year after notification of disapproval of nominee.

2. GENERAL CORRESPONDENCE AND SUBJECT FILES RELATING TO EXECUTIVE DEVELOPMENT PROGRAMS.

Destroy when 3 years old.

3. GENERAL CORRESPONDENCE AND SUBJECT

**FILES RELATING TO MANAGEMENT TRAINING
AND DEVELOPMENT PROGRAMS.**

Destroy when 3 years old.

**4. GENERAL CORRESPONDENCE SUBJECT FILES
RELATING TO SUPERVISORY TRAINING AND
DEVELOPMENT PROGRAMS.**

Destroy when 3 years old.

SSIC 12430

PERFORMANCE MANAGEMENT RECORDS

1. OFFICIAL PERFORMANCE RATINGS.

a. Ratings of Records and Performance Plans on which they are based, Summary Ratings, and Close Out Ratings with Supporting Documents of Justification Processed following 5 Code of Federal Regulations (CFR) 293 and 430, and CPI 430 Activity Instructions. Upon approval, the DON Performance Appraisal Form indicating such ratings and plans will be placed in the official personnel folder, or a separate folder will be established for the purpose of retention of performance records. This Employee Performance Folder (EPF) will be retained in the same office (personnel) that maintains the OPF or centrally as agreed by CPO and activity head.

(1) Performance appraisal form and performance plan.

Destroy 3 years after date of rating.

(2) Supporting documents.

Destroy 1 year after date of rating.

b. Recommending Demotion or Removal when Such Action is not Effected.

Place in EPF or OPF, as appropriate. Destroy after the employee has completed 1 year of acceptable performance from date of written advance notice of proposed demotion or removal.

c. Performance records superseded through an administrative, judicial, or quasi-judicial procedure.

Destroy when superseded.

d. Performance-related records pertaining to a former employee.

(1) Latest rating of record 3 years old or less,

performance plan upon which it is based, and any summary rating.

Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee separates. An agency retrieving an OPF from NPRC will destroy when 4 years old or when no longer needed, whichever is sooner.

(2) All other performance plans and ratings.

Destroy when 4 years old or when no longer needed, whichever is sooner.

e. All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based.

Destroy 4 years after date of appraisal.

f. Supporting documents.

Destroy 4 years after date of appraisal or when no longer needed, whichever is sooner.

g. Senior Executive Service (SES) Member's Performance Records.

Apply SSIC 12920, para. 2.

h. Automated Files Which Contain Same or Similar Information as that Contained on the DON Performance Appraisal Form.

Destroy when 3 years old. (Retention beyond 3 years permissible so long as data not used in researching a decision affecting an employee where the manual copy of the appraisal has been or should have been destroyed.)

**2. PERFORMANCE RATINGS RECORDS OF
SEPARATING EMPLOYEES.**

a. Performance Appraisal Records. Records maintained under this system at time employee transfers or resigns.

Place in OPF. Transfer performance ratings of record, close-out and summary ratings, along with the performance plan on which the most recent rating was based to new CPO or NPRC.

b. Close-Out or Summary Ratings Prepared by Supervisor When Supervisor or Employee Leaves the Position After Minimum Appraisal Period.

Upon employee's reassignment, records are

forwarded to gaining CPO or to NPRC by losing CPO.

3. PERFORMANCE RATING DOCUMENTATION NEEDED IN CONNECTION WITH PROBABLE CAUSES FOR LITIGATION (ONGOING ADMINISTRATIVE, QUASIJUDICIAL, OR JUDICIAL PROCEEDINGS).

Destroy when no longer needed to properly adjudicate the pending case(s).

4. PERFORMANCE RATING BOARD CASE FILES. COPIES OF CASE FILES FORWARDED TO OPM

RELATING TO PERFORMANCE RATING BOARD REVIEWS.

Destroy 1 year after case is closed.

SSIC 12431

WITHHOLDING OF WITHIN-GRADE INCREASES RECORDS

1. FILES CONSISTING OF AN EMPLOYEE'S PERFORMANCE RATING OF RECORD WITH WORK EXAMPLES WHICH ESTABLISH LESS THAN FULLY SUCCESSFUL PERFORMANCE; NOTICE OF WITHHOLDING OF WITHIN-GRADE INCREASE (WGI); EMPLOYEES REQUEST FOR RECONSIDERATION OF DENIED WGI; AND DECISION CONCERNING SUCH A RECONSIDERATION REQUEST.

Destroy 3 years after WGI is granted or after separation, whichever is earlier.

SSIC 12432

UNACCEPTABLE PERFORMANCE ACTION RECORDS

1. CASE FILES CONSISTING OF AN EMPLOYEE'S PERFORMANCE RATING OF RECORD WITH WORK EXAMPLES WHICH ESTABLISH UNACCEPTABLE PERFORMANCE AND SERVE AS THE BASIS FOR REASSIGNMENT, DEMOTION, OR REMOVAL. The file includes a copy of the notice of unacceptable performance and opportunity period to improve; notes, work examples, and performance ratings documenting performance deficiencies; a copy of the proposed adverse action with supporting papers; the employee's reply; notice of decision; and appeal and grievance records, including decisions.

Destroy 4 years after case is closed.

SSIC 12450

GENERAL EMPLOYEE RECOGNITION AND INCENTIVES RECORDS

1. GENERAL AWARDS RECORDS.

a. Case Files. Files including recommendations, approved nominations, memoranda, correspondence, reports, and related handbooks pertaining to agency-sponsored cash and non-cash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance.

Destroy 2 years after approval or disapproval.

b. Correspondence or Memoranda. Files pertaining to awards from other government agencies or private organizations.

Destroy when 2 years old.

2. LENGTH OF SERVICE AND SICK LEAVE AWARDS FILES. Records including correspondence, memoranda, reports, computations of service and sick leave, and list of awardees.

Destroy when 1 year old.

3. LETTERS OF COMMENDATION AND APPRECIATION. Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance. (Exclude copies filed in the OPF.)

Destroy when 2 years old.

4. LIST OR INDEXES TO AGENCY AWARD NOMINATIONS. List of nominees and winners and indexes of nominations.

Destroy when superseded or obsolete.

5. DEPARTMENTAL LEVEL AWARDS FILES. Records relating to awards made at the departmental level or higher (Presidential, Secretarial, etc.).

Disposition not approved pending NARA's evaluation of departmental level awards on a Department of Defense-wide basis.

SSIC 12451

INCENTIVE AWARDS RECORDS

1. INCENTIVE AWARDS PROGRAM REPORTS. Reports pertaining to the operation of the Incentive

Awards Program.

Destroy when 3 years old.

2. ALL OTHER RECORDS.

Apply SSIC 12450.

SSIC 12452

SUGGESTION SYSTEM RECORDS

1. GENERAL CORRESPONDENCE FILES. Files relating to the Navy beneficial suggestion program, involving program standards, organization, procedures, and awards.

Destroy when 2 years old.

2. BENEFICIAL SUGGESTION CASE FILES.

Apply SSIC 12450, para. 1a.

SSIC 12470

PERSONNEL RESEARCH PROGRAMS AND DEMONSTRATION PROJECTS RECORDS

1. RECORDS COVERING PROJECT PLANS, APPROVAL LETTERS AND BUDGET DOCUMENTS AUTHORIZING PROJECT EVALUATIONS, REPORTS, ETC.

Destroy when superseded or no longer required.

SSIC 12500-12599

POSITION CLASSIFICATION, PAY, AND ALLOWANCES RECORDS

SSIC 12500

GENERAL POSITION CLASSIFICATION, PAY AND ALLOWANCES RECORDS

1. WAGE AND CLASSIFICATION CONTROL CARD RECORDS. Progress or control records reflecting action taken on requests for wage rates and on reports for classification action.

Destroy at end of calendar year following year in which action was taken.

2. RECEIPTS FOR CHECKS.

a. Divisional Check Receipts for Blocks of Checks for Operating Units.

Destroy when 1 month old.

b. Receipts for Other Checks and Savings Bonds.

Destroy when 3 months old.

c. Records or Receipts for Checks Mailed to Employees.

Destroy when 3 months old.

3. VISIBLE INDEXES OF ALL EMPLOYEES, GIVING NAMES, DIVISIONS, AND CHECK DISTRIBUTION CODE NUMBERS, OR OTHER SIMILAR INFORMATION.

Destroy when individual index record is superseded or obsolete.

SSIC 12511

CLASSIFICATION UNDER THE GENERAL SCHEDULE RECORDS

1. POSITION CLASSIFICATION FILES.

a. Position Classification Standards Files.

(1) Standards. OPM standards determining title, series, and grade based on duties, responsibilities, and qualifications requirements.

Destroy when superseded or obsolete.

(2) Development. OPM drafts of classification standards or memoranda, correspondence, and other records relating to the development of standards of classification of positions peculiar to the agency and OPM approval or disapproval.

(a) HIROC.

Destroy 5 years after position is abolished or description is superseded.

(b) Participating activities.

Destroy when new standard is received.

b. Position Description. Files describing established positions including information on title, series, grade, duties, and responsibilities.

(1) Record Copy.

Destroy 2 years after position is abolished or description is superseded.

(2) All Other Copies.

Destroy when position is abolished or description is superseded.

c. Survey Files. Survey reports on various positions prepared by classification specialists, including periodic reports such as Annual Whitten Amendment Report and Annual Supergrade Position Report maintained at office of origin.

Destroy when 3 years old or 2 years after regular inspection, whichever is earlier.

d. Inspection, Audit, and Survey Files. Correspondence, memoranda, reports, and other records relating to inspections, surveys, desk audits, and evaluations.

Destroy when obsolete or superseded.

e. Appeals Files.

(1) Case files relating to classification appeals.

Destroy 3 years after case is closed.

(2) Certificates of classification issued by OPM.

Destroy after affected position is abolished or superseded.

f. Position Identification Strips. Strips, such as the former SF 7D, containing summary data on each position occupied.

Destroy when superseded or obsolete.

SSIC 12530

GENERAL PAY RATES AND SYSTEMS RECORDS

1. RECORDS COVERING THE BASIC POLICIES AND PRINCIPLES OF GENERAL PAY RATES AND SYSTEMS, ANNUAL REPORTS OF PAY COMPARABILITY, SPECIAL RATES FOR RECRUITMENT AND RETENTION, AND SPECIAL PAY RATES.

Destroy when 2 years old.

SSIC 12531

PAY UNDER THE GENERAL SCHEDULE RECORDS

1. RECORDS GOVERNING POLICIES AND PROCEDURES FOR DETERMINING RATE OF BASIC

PAY, PAY ADJUSTMENTS FOR SUPERVISORS, WITHIN-GRADE INCREASE, AND SALARY RETENTION.

Apply SSIC 12532.

SSIC 12532

FEDERAL WAGE SYSTEM RECORDS

1. JOB GRADING ACTIONS AND APPEALS.

Correspondence from activities; job descriptions, audit, and evaluation reports; organization charts; and other supporting documentation at HIROC regional offices, and preparing activities.

Destroy when occupation is superseded or abolished.

2. JOB GRADING STANDARDS. OPM draft of job grading standards and pertinent correspondence.

a. HIROC Regional Offices.

Destroy 5 years after standard is published.

b. Participating Activities.

Destroy after standard is received.

3. DEPARTMENT OF THE NAVY SUPPLEMENTARY JOB GRADING GUIDANCE (NAVSO-P3090s). Guidance regarding specialized rating approved for use by activities and related correspondence at HIROC regional offices, and other activities.

Destroy when superseded by a published revision.

4. INTERDEPARTMENTAL LITHOGRAPHIC WAGE BOARD (ILWB) GRADING STANDARDS. Guidance regarding lithographic and printing jobs in the Washington, DC, area and pertinent correspondence at HIROC.

Destroy when standards are abolished or superseded.

5. WAGE AREA SURVEYS. Wage change survey computation forms, specifications, recommendations, and related correspondence at HIROC.

Destroy after completion of second succeeding wage survey.

6. AREA SCHEDULE OF WAGES. Wages schedules for Navy employees in trades and labor occupations. (Lengthy retention period necessary in order to provide OPM's Bureau of Retirement wage information on wage board employees who retired on disability and have other

income.)

a. IHROC.

Destroy 20 years after superseded.

b. Activities and IHROC Headquarters and Regional Offices.

Destroy 5 years after superseded.

7. CIVILIAN MARINE WAGE SCHEDULES AND INSTRUCTIONS. Wage schedules, hours of work, and other instructions for civilian marine employees employed on Military Sealift Command (MSC) ships and related correspondence at IHROC; Commander, MSC (COMSC); and other MSC activities.

Destroy 20 years after superseded.

8. ENVIRONMENTAL DIFFERENTIAL PAY (EDP). Instructions, Comptroller General (COMPTGEN) and OPM decisions, and related correspondence at IHROC and other activities.

Destroy when pertinent EDP category is abolished or superseded with revised instructions.

9. NOTIFICATION OF AFFIRMATIVE DETERMINATION OF ACCEPTABLE LEVEL OF COMPETENCE FOR GENERAL SCHEDULE WITHIN-GRADE INCREASE. Whatever form is used by individual activities (at all activities) and used to notify employees of their acceptable level of competence and to notify CPOs of such a determination.

Destroy when within grade increase has been effected and employee has been notified.

10. PAY COMPARABILITY RECORDS. Written narratives and computerized transaction registers documenting use of retention, relocation and recruitment bonuses, allowances, and supervisory differentials under Federal Employees Pay Comparability Act.

Destroy after 3 subsequent reports have been filed.

SSIC 12534

PAY UNDER OTHER SYSTEMS RECORDS

1. RECORDS COVERING DETERMINATION OF PAY FOR TRAINEES IN GOVERNMENT HOSPITALS AND SCIENTIFIC AND PROFESSIONAL POSITIONS REQUIRING SPECIALLY QUALIFIED PERSONNEL.

Apply SSIC 12532.

SSIC 12536

GRADE AND PAY RETENTION RECORDS

1. RECORDS COVERING PROCEDURES FOR REDUCTION IN GRADE CRITERIA FOR GRANTING SAVE GRADE AND PAY. Files describe various methods and protections of affected civilian employees.

Apply SSIC 12532.

SSIC 12550

GENERAL PAY ADMINISTRATION RECORDS

1. INFORMATION COPIES OF PAYROLLS. Records covering items such as premium pay, lump sum payment for annual leave allotments, and assignment of pay, severance pay, back pay, and pay for irregular or intermittent duty involving unusual physical hardship or hazard.

Destroy when 4 years old.

SSIC 12551

FAIR LABOR STANDARDS ACT RECORDS

1. RECORDS PERTAINING TO MANAGEMENT AND PROCESSING OF EMPLOYEE ISSUES RELATED TO THE IMPLEMENTATION OF AN ACT.

Destroy when 6 years old.

SSIC 12553

DEDUCTIONS FROM CIVILIAN PAY FOR INCREASES IN UNIFORMED SERVICES RETIRED OR RETAINER PAY

1. FILES PERTAINING TO DEDUCTIONS FROM CIVILIAN FEDERAL EMPLOYEE PAY TO OFFSET ANY COST OF LIVING ALLOWANCE (COLA) INCREASES SUCH EMPLOYEES RECEIVED IN MILITARY RETIRED OR RETAINER PAY DURING FISCAL YEARS 1983, 84, AND 85. OPM has since revoked these regulations per section 2203 of the Deficit Reduction Act of 1984 which repealed section 301(d) of the Omnibus Budget Reconciliation Act of 1982. The statutory amendment was effective 18 July 1984.

Retain until superseded, obsolete or no longer needed.

SSIC 12570

GENERAL TRAVEL AND TRANSPORTATION
RECORDS

1. RECORDS AND FORMS (INCLUDING TRAVEL ORDERS, REQUESTS FOR REIMBURSEMENT, TRANSPORTATION REQUESTS, AND ASSOCIATED DOCUMENTS) RELATED TO OFFICIAL GOVERNMENT TRAVEL.

Destroy when 3 years old.

SSIC 12571

TRAVEL AND TRANSPORTATION FOR PRE-
EMPLOYMENT INTERVIEWS AND RECRUITMENT
RECORDS

1. TRAVEL RECORDS. Files such as travel requests, transportation requests, expenses, and per diem associated with pre-employment recruitment and interviews.

Destroy when 3 years old.

SSIC 12591

ALLOWANCES AND DIFFERENTIALS PAYABLE IN
NON-FOREIGN AREAS RECORDS

1. PAY RECORDS GOVERNING THE ESTABLISHMENT AND MAINTENANCE OF ALLOWANCES AND DIFFERENTIALS, AGENCIES, AND EMPLOYEES AFFECTED.

Destroy when 4 years old.

SSIC 12592

OVERSEAS ALLOWANCES AND POST
DIFFERENTIALS RECORDS

1. GENERAL CORRESPONDENCE. Files dealing with payment of allowance differentials and living quarters while in foreign areas.

Destroy when 4 years old.

SSIC 12593

SUBSISTENCE, QUARTERS, AND LAUNDRY
RECORDS

1. GENERAL CORRESPONDENCE. Files related to civilian employees stationed outside the United States entitled to subsistence rights and commissary, mess, and laundry privileges.

Destroy when 4 years old.

SSIC 12594

ALLOWANCES FOR UNIFORMS RECORDS

1. GENERAL CORRESPONDENCE. Files dealing with allowances for uniforms worn by civilian employees working for the DON and allowances authorized.

Destroy when 2 years old.

SSIC 12595

PHYSICIANS COMPARABILITY ALLOWANCE
RECORDS

1. RECORDS PERTAINING TO PHYSICIANS COMPARABILITY ALLOWANCE AND ELECTION FORMS.

Destroy when superseded, obsolete, or no longer needed.

SSI 12600-12699

ATTENDANCE AND LEAVE RECORDS

SSIC 12600

GENERAL ATTENDANCE AND LEAVE RECORDS

1. GENERAL ATTENDANCE AND LEAVE RECORDS.

Destroy when 4 years old.

SSIC 12610

HOURS OF DUTY RECORDS

1. TIME AND ATTENDANCE SOURCE RECORDS. All time and attendance records upon which leave input data is based, such as time or sign-in sheets; time cards (such as OF 1130); flexitime records; leave applications for jury and military duty; and authorized premium pay or overtime; maintained at duty post, upon which leave input data is based. Records may be in either machine-readable or paper form.

Destroy after GAO audit or when 6 years old; whichever is sooner. (GRS 2.7)

2. TIME AND ATTENDANCE INPUT RECORDS. Records in either paper or machine readable form used to input time and attendance data into a payroll system, maintained either by agency or payroll processor.

Destroy after GAO audit or when 6 years old,
whichever is sooner. (GRS 2.8)

3. OVERTIME AUTHORIZATION REQUESTS.
Documents used at all activities to officially order the
approval of overtime.

Destroy when 4 years old.

SSIC 12620

ALTERNATE WORK SCHEDULE RECORDS

**1. DOCUMENTS SHOWING ALTERNATIVE WORK
SCHEDULES SUCH AS FLEXTIME AND
COMPRESSED SCHEDULES.**

Destroy when 2 years old.

SSIC 12630

ABSENCE AND LEAVE RECORDS

RECORDS COVERING SUCH LEAVE AS COURT,
FUNERAL, EXCUSED ABSENCE, LEAVE WITHOUT
PAY, AND MATERNITY LEAVE. ALSO COVERED
IN THIS SERIES IS SHORE LEAVE FOR PERSONS
ON VESSELS, HOME LEAVE FOR PERSONS
WORKING OUTSIDE THE UNITED STATES, AND
MILITARY LEAVE FOR RESERVISTS.

1. ABSENCE AND LEAVE. All applications for leave
and supporting papers, including reports of absence
without authority and tardiness reports, such as
Application for Leave (SF 71) and Record of Leave Data
(SF 1150), used by employees to request leave, by
supervisors to approve leave, and are maintained with
employees' leave records.

a. SF 71.

(1) If the timecard/time sheet has been initialed by
the employee.

Destroy at the end of the pay period.

(2) If the timecard/time sheet has not been initialed
by the employee.

Destroy after Government Accounting Office (GAO)
audit or when 3 years old, whichever is earlier.

b. SF 1150.

(1) Original.

File on right side of OPF.

(2) Copies.

Destroy when 3 years old.

2. DONATED LEAVE PROGRAM CASE FILES. Case
files documenting the receipt and donation of leave for
medical emergencies, including recipient applications,
agency approvals or denials, medical or physician
certifications, leave donation records or OF 630-A,
supervisor/timekeeper approvals, leave transfer records,
payroll notification records, and leave program
termination records.

Beginning in January 1994, destroy 1 year after the
end of the year in which the file is closed.

SSIC 12700-12799

**GENERAL PERSONNEL RELATIONS AND SERVICES
RECORDS**

SSIC 12700

**GENERAL EMPLOYEE RELATIONS AND SERVICES
RECORDS**

**1. GENERAL CORRESPONDENCE FILES RELATING
TO EMPLOYEE RELATIONS AND SERVICES.**

Destroy when 2 years old.

SSIC 12711

LABOR RELATIONS RECORDS

**1. LABOR RELATIONS GENERAL AND CASE
FILES.** Correspondence, memoranda, reports, and other
records relating to the relationship between management
and labor organizations (unions) or other groups.

a. Office negotiating agreement.

Destroy 5 years after expiration of agreement. (GRS
1.28a)

b. Other offices.

Destroy when superseded or obsolete. (GRS 1-28a)

**2. LABOR ARBITRATION GENERAL AND CASE
FILES.** Correspondence, memoranda, reports, unit
certifications, negotiated agreements, and case files (such
as Unfair Labor Practice charges, negotiability disputes,
unit clarification or decertification petitions) relating to
labor arbitration cases.

Destroy 5 years after final resolution of case. (GRS 1.28b)

SSIC 12713

EQUAL EMPLOYMENT OPPORTUNITY RECORDS

1. DISCRIMINATION COMPLAINT RECORDS.

a. Records Created in Receipt and Processing of Individual and Class Complaints of Discrimination by Employees or Applicants as Described by 29 CFR Part 1613.

(1) Activities where complaint is filed (preparing activities).

Destroy 4 years after final resolution of case.

(2) HIROC, CMC (MPC-30), and Employee Appeals and Review Board (EARB).

Destroy 3 years after final resolution of case.

b. Copies of complaint case files. Duplicate case files or documents pertaining to case files retained in Official File Discrimination Complaint Case Files.

Destroy 1 year after resolution of case.

c. Background Documents Pertaining to the Case but not Included in Case Files and Complaint Counseling, Status, and Disposition Reports and Summaries Maintained at Preparing Activities, HIROC, and EARB. Includes follow-up transmittal correspondence from external organizations, e.g., Equal Employment Opportunity Commission (EEOC), Merit Systems Protection Board (MSPB), and Congressional inquiries.

Destroy 2 years after final resolution of case.

d. Records documenting complaints that do not develop into official discrimination complaint cases.

Destroy when 2 years old.

e. Compliance Records.

(1) Compliance review files. Reviews, background documents, and correspondence relating to contractor employment practices.

Destroy when 7 years old.

(2) EEO compliance reports.

Destroy when 3 years old.

f. Employee housing requests. Forms requesting agency assistance in housing matters, such as rental or purchase.

Destroy when 1 year old.

g. Employment statistics files. Employment statistics relating to race and sex.

Destroy when 5 years old.

NOTE: Master files and data bases created in central data processing facilities to supplement or replace the records covered in SSIC 12713 are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.

h. EEO general files. General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent later legislation, and agency EEO Committee meeting records, including minutes and reports.

Destroy when 3 years old, or when superseded or obsolete, whichever is applicable.

SSIC 12720

AFFIRMATIVE EMPLOYMENT PROGRAM RECORDS

IT IS THE RESPONSIBILITY OF THE DON OR PROCESSING ACTIVITY TO MAINTAIN THE COMPLETE CASE FILE TO INCLUDE ALL RELATED RECORDS (I.E., MERIT PROMOTION FILE) ON ALL DISCRIMINATION COMPLAINTS WHILE THE COMPLAINTS ARE BEING PROCESSED.

1. MINORITY AND WOMEN CENSUS REPORTS. Census data on minorities and women as of 31 March and 30 September.

a. HIROC.

Destroy 5 years after superseded.

b. Major Commands and Activities.

Destroy 3 years after superseded.

2. PLANNED RESOURCES FOR EEO ADMINISTRATORS. Annual planned and allocated resources.

a. IIROC.

Destroy 5 years after superseded.

b. Preparing Major Activities and Preparing Activities.

Destroy 3 years after superseded.

3. CERTIFICATION OF QUALIFICATION OF EEO PROGRAM ADMINISTRATOR OFFICIALS. Annual certification of EEO officials.

a. IIROC.

Destroy 3 years after superseded.

b. Preparing Major Activities and Preparing Activities.

Destroy 1 year after superseded.

4. SEMI-ANNUAL NARRATIVE REPORT OF AFFIRMATION ACTION PLAN (AAP) AND SIGNIFICANT ACCOMPLISHMENTS. Status of AAP and other significant EEO achievements at IIROC, preparing major commands, and preparing activities.

Destroy 1 year after superseded.

5. AAPs. Annual planned action items.

a. IIROC and Preparing Major Commands. (Agency copy of consolidated AAP.)

Destroy 5 years from date of plan.

b. Preparing Activities. (Agency feeder plan to consolidate AAP(s).)

Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is earlier.

6. NUMERICAL GOALS ESTABLISHED. Established goals for succeeding fiscal year.

a. IIROC.

Destroy 5 years after superseded.

b. Preparing Major Commands and Preparing Activities.

Destroy 3 years after superseded.

7. NUMERICAL GOALS ACHIEVED. Report of

numerical goals program at IIROC, preparing major commands, and preparing activities.

Destroy 3 years after superseded.

8. UPWARD MOBILITY PROGRAM REPORT.

Positions identified and filled during preceding fiscal year by series, trainee level, and target level.

a. IIROC.

Destroy 5 years after superseded.

b. Preparing Major Commands and Preparing Activities.

Destroy 3 years after superseded.

9. HANDICAPPED PROGRAM REPORTS.

a. IIROC.

Destroy 5 years after superseded.

b. Preparing Major Commands and Preparing Activities.

Destroy 3 years after superseded.

SSIC 12731

SUITABILITY RECORDS

1. RECORDS RELATING TO THE SUITABILITY OF INDIVIDUAL PERSONNEL. Records relating to the character, reputation, and fitness of individuals for government employment of personnel under consideration for positions with DON.

Destroy 4 years after separation or transfer of employee.

SSIC 12732

PERSONNEL SECURITY PROGRAM RECORDS

1. PERSONNEL SECURITY CASE FILES. Adjudications and written reviews; OPM and Defense Investigative Service (DIS) reports of investigation produced under the authority of Executive Order 10450, as amended, or any other security of loyalty program.

a. IIROC.

Transfer to WNRC when no longer required for administrative purposes. Destroy 15 years after date of last action.

b. Other activities. Investigate material furnished by OPM and DIS.

Destroy when purpose is served.

2. CERTIFICATE OF PERSONNEL INVESTIGATION, CLEARANCE, AND ACCESS.

Destroy 2 years after transfer or separation of employee.

SSIC 12733

POLITICAL ACTIVITY OF FEDERAL EMPLOYEES RECORDS

1. POLICY AND PROCEDURES GOVERNING PERMISSIBLE AND PROHIBITED ACTIVITIES, POLITICAL CONTRIBUTIONS, AND EXCEPTIONS OF CERTAIN ELECTIONS.

Destroy when superseded or obsolete.

SSIC 12734

HOLDING STATE OR LOCAL OFFICE RECORDS

1. REPORTS, CORRESPONDENCE AND RELATED MATERIAL REQUIRED TO BE FILED BY ANY CIVILIAN EMPLOYEE HOLDING ANY STATE OR LOCAL PUBLIC OFFICE OR APPOINTMENT. Any information concerning such office or appointment filed by another person or entity.

Destroy 2 years after employee leaves public office or appointment.

SSIC 12735

EMPLOYEE RESPONSIBILITIES AND CONDUCT RECORDS

1. RECORDS COVERING STATEMENTS OF EMPLOYMENT AND FINANCIAL INTEREST AND CONFLICTS OF INTEREST SUCH AS MISUSE OF INFORMATION AND ACCEPTANCE OF GIFTS. (Use of government property, bribery and graft, disloyalty, and striking.)

a. Standard of Conduct Files. Correspondence, memoranda, and other records relating to codes of ethics and standards of conduct.

Destroy when obsolete or superseded.

b. Conflict of Interest Case Files. Statement of employment and related records.

Destroy when 6 years old; except that document needed in an ongoing investigation will be retained until no longer needed in the investigation.

SSIC 12736

INVESTIGATIONS RECORDS

1. ANY REPORT OF INVESTIGATIONS, WHETHER FORMAL OR INFORMAL, NOT COVERED BY ANOTHER REPORTING REQUIREMENT, CONCERNING CIVILIAN PERSONNEL.

Destroy when purpose is served.

SSIC 12751

DISCIPLINE RECORDS

1. EMPLOYEE DISCIPLINARY ACTIONS. Documents, reports of pre-action investigation, and related correspondence on employee disciplinary actions. Filed by name of individual employees other than those disciplinary records that must be filed on the right (permanent) side of employee's OPF.

Destroy when 3 years old.

2. SURVEYS AND STUDIES. Documents and reports relating to general disciplinary matters at offices, commands, bureaus, and activities.

Destroy when 5 years old.

SSIC 12752

ADVERSE ACTIONS BY AGENCIES RECORDS

1. ADVERSE ACTIONS FILES. Case files and related records created in processing an adverse action (disciplinary or non-disciplinary removal, suspension, demotion, leave without pay, or reduction-in-force) against an employee. The file includes copies of the notice of proposed adverse action with supporting papers; statements of witnesses; employee's reply; notice of decision; and appeals records such as appeal forms or letters, hearing notices, reports, and decisions. (Letters of reprimand are excluded.)

Destroy 4 years after the case is closed.

SSIC 12754

SUITABILITY DISQUALIFICATION ACTIONS

1. OPM ADVERSE ACTION FILES.

Destroy 4 years after case is closed.

SSIC 12771

GRIEVANCE SYSTEM RECORDS

1. **EMPLOYEE GRIEVANCES.** The official records of the grievance file including statement of grievance, records or copies of records, reports of interviews, the record of the hearing if a hearing is held, fact finder's report of findings and recommendation if fact finding is conducted, the deciding official's decision, and other related correspondence.

Destroy 4 years after case is closed.

SSIC 12772

APPEALS TO THE MERIT SYSTEMS PROTECTION BOARD (MSPB) RECORDS

1. **RECORDS, JUSTIFICATIONS, COMPLAINT FORMS, AND BACKGROUND INFORMATION ASSOCIATED WITH APPEALS SENT TO MSPB.** Correspondence received from MSPB and decisions.

Destroy 4 years after final decision is issued.

2. **MERIT PROMOTION CASE FILES.** Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates.

Destroy after OPM audit or 2 years after the personnel action is completed, whichever is sooner.

SSIC 12790

SERVICES TO EMPLOYEES RECORDS

RECORDS COVERING INFORMATION SERVICES, SPECIAL SERVICES, FINANCIAL SERVICES, DECEDENT AFFAIRS, AND CIVILIAN NONAPPROPRIATED FUNDS (NAF). (SEE ALSO SSIC 5380)

1. **EMPLOYEES OF CIVILIAN NAFs.** Personnel, pay, health and on-the-job injury records at the employing NAF.

Destroy 6 months after separation.

SSIC 12792

FEDERAL EMPLOYEES OCCUPATIONAL HEALTH AND COUNSELING PROGRAM RECORDS

1. **INDIVIDUAL HEALTH RECORD FILES.** Cards which contain such information as date of employee's visit, diagnosis, and treatment.

Destroy 6 years after last entry.

2. **HEALTH UNIT CONTROL FILES.** Logs or registers reflecting daily number of visits to dispensaries, first aid rooms, and health units.

a. Information Summarized on Statistical Reports.

Destroy 3 months after last entry.

b. Information not Summarized on Statistical Reports.

Destroy 2 years after last entry.

c. Copies of statistical summaries and reports with related papers pertaining to employee health, retain by the reporting unit.

Destroy 2 years after date of summary or report.

3. **INDIVIDUAL EMPLOYEE HEALTH CASE FILE ALREADY IN FRC'S CREATED PRIOR TO ESTABLISHMENT OF EMF SYSTEM.** Forms, correspondence, and other records relating to an employee's medical history, occupational injuries or diseases, physical examinations, and all treatment received in the health unit. (Exclude pre-employment physical examinations and disability retirement and fitness for duty examinations which are filed in OPF upon separation of employee (Ref: FPM Supplement 293-31.))

4. **EMPLOYEE MEDICAL FOLDERS (EMF).** Employee Medical Folders of civilian employees (including non-U.S. citizens of the Navy or Marine Corps, including a copy of Certificate of Medical Examination (SF 78)) (original is filed in employee's Official Personnel Folder), and certain X-rays as specified in paragraph 4a, below.

Apply GRS 1, Items 21a(1), 21a (2), or 21b, whichever is applicable.

a. Long-term medical records as defined in 5 CFR part 293, subpart E.

(1) Transferred employees.

See 5 CFR part 293, subpart E for instructions.

(2) Separated employees.

Transfer to National Personnel Records Center (NPRC), St. Louis, MO, 30 days after separation. NPRC will destroy 75 years after birth date of employee; 60 years after date of the earliest document in the folder, if the date of birth cannot be ascertained; or 30 years after latest separation, whichever is later.

b. Temporary or short-term records as defined in the FPM.

Destroy 1 year after separation or transfer of employee.

c. Individual Employee Health Case Files created prior to establishment of the EMF system that have been retired to an FRC.

Destroy 60 years after retirement to FRC.

NOTE: Master files and data bases created in central data processing facilities to supplement or replace the records covered in EMF are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.

d. X-rays of Civilian Employees.

Destroy when 5 years old, EXCEPT that x-rays of positive pathological findings that are not static in nature, and one representative of those that are static in nature, will be filed in and retained with the Employee Medical Folder (EMF).

e. Industrial Health Report Data Sheets.

Destroy when 2 years old.

5. CIVILIAN EMPLOYEE ASSISTANCE PROGRAM RECORDS.

a. Correspondence, Records, Reports, and Surveys Relating to General Program Administration.

Destroy when 2 years old.

b. Case Files, Counseling and Referral Records, and Other Material Relating to Individual Employees.

Destroy 2 years after separation of employee.

6. OCCUPATIONAL INJURY AND ILLNESS FILES. Reports and logs (including OSHA Forms 100, 101, 102, and 200, or equivalents) maintained as prescribed in 29 CFR 1960 and OSHA pamphlet 2014 to document all recordable occupational injuries and illnesses for each establishment.

Destroy when 5 years old.

7. FEDERAL WORKPLACE DRUG TESTING PROGRAM FILES. Drug testing program records created under Executive Order 12564 and Public Law 100-71, Section 503 (101 Stat. 468), EXCLUDING consolidated statistical and narrative reports concerning the operation of agency programs, including annual reports to Congress, as required by Public Law 100-71, 503(f). This authorization does not apply to oversight program records of the Office of Personnel Management.

a. Drug test plans and procedures, EXCLUDING documents that are filed in records sets of formal issuances (directives, procedures handbooks, operating manuals, and the like.)

(1) Agency copies of plans and procedures, with related drafts, correspondence, memoranda, and other records pertaining to the development of procedures for drug testing programs, including the determination of testing incumbents in designated positions.

Destroy when 3 years old or when superseded, obsolete, or no longer needed, whichever is later. (See note (2))

b. Employee acknowledgement of notice forms.

(1) Forms completed by employees whose positions are designated sensitive for drug testing purposes acknowledging that they have received notice that they may be tested.

Destroy when employee separates from testing-designated position. (see note (2))

c. Selection/scheduling records.

(1) Records relating to the selection of specific employees/applicants for testing and the scheduling of tests. Included are lists of selectees, notification letters, and testing schedules.

Destroy when 3 years old. (See note (2))

d. Records relating to the collection and handling of specimens.

(1) Permanent Record Books. Bound books containing identifying data on each specimen, recorded at each collection site in the order in which the specimens were collected.

Destroy 3 years after date of last entry. (See note (2))

(2) Chain of custody records. Forms and other records used to maintain control and accountability of specimens from the point of collection to the final disposition of the specimen.

Destroy when 3 years old. (See note (2))

e. Test results. Records documenting individual test results, including reports of testing, notifications of employees/applicants and employing offices, and documents relating to followup testing.

(1) Positive results.

Disposition not authorized.

(2) Negative results.

Destroy when 3 years old.

NOTES: (1) disciplinary action case files pertaining to actions taken against employees for drug use, drug possession, failure to comply with drug testing procedures, and similar matters are covered by SSIC 12754 which authorizes destruction of records between 4 years after the case is closed. (2) Any records covered by SSIC 12792.7 that are relevant to litigation or disciplinary actions should be disposed of no earlier than the related litigation or adverse action case file(s).

SSIC 12800-12899

INSURANCE AND ANNUITIES RECORDS

SSIC 12800

GENERAL INSURANCE AND ANNUITIES RECORDS

1. CARRIER COPIES OF HEALTH BENEFITS REGISTRATION FORM ON NON-ENROLLED EMPLOYEES.

Destroy upon receipt.

2. COPIES OF HEALTH BENEFITS REGISTRATION FORM FOR ELIGIBLE EMPLOYEES USED TO DETERMINE EMPLOYEE ELIGIBILITY FOR HEALTH BENEFITS UPON RETIREMENT.

File on right side of OPF.

SSIC 12810

INJURY COMPENSATION RECORDS

1. PERSONAL INJURY FILES. Compensation forms, reports, and related medical and investigative

correspondence (other than copies in OPF and copies submitted to the Department of Labor) relating to on-the-job injuries.

Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cutoff.

SSIC 12831

CIVIL SERVICE RETIREMENT SYSTEMS RECORDS (CSRS)

1. GENERAL CORRESPONDENCE AND SUBJECT FILES. FILES RELATE TO GENERAL ADMINISTRATION AND OPERATION OF THE CSRS.

Destroy when 3 years old.

2. RECORDS AND FORMS PERTAINING TO AN EMPLOYEE'S ELIGIBILITY TO RETIRE AND PARTICIPATION IN THE THRIFT SAVINGS PLAN.

File on permanent side of OPF.

SSIC 12832

SOCIAL SECURITY RETIREMENT, SURVIVORS INSURANCE, DISABILITY INSURANCE, AND MEDICARE RECORDS

1. GENERAL CORRESPONDENCE FILES.

Destroy when 3 years old.

SSIC 12841

FEDERAL EMPLOYEES' RETIREMENT SYSTEM RECORDS (FERS)

1. GENERAL CORRESPONDENCE AND SUBJECT FILES. Files relate to general administration and operation of FERS (including coverage, basic annuity, death benefits and refunds, disability, and debt collection). Also files that address both CSRS and FERS.

Destroy when 3 years old.

2. RECORDS AND FORMS PERTAINING TO AN EMPLOYEE'S TRANSFER TO FERS, PARTICIPATION IN THE THRIFT SAVINGS PLAN AND ELIGIBILITY TO RETIRE.

File on permanent side of OPF.

3. APPEALS PERTAINING TO FERS ERROR CORRECTIONS.

Destroy 4 years after decision.

4. RETIREMENT ASSISTANCE FILES.

Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors claim insurance or retirement benefits.

Destroy when 1 year old.

SSIC 12850

UNEMPLOYMENT BENEFITS RECORDS

1. RECORDS GOVERNING UNEMPLOYMENT BENEFITS FOR FEDERAL CIVILIAN EMPLOYEES, ELIGIBILITY REQUIREMENTS, AND PROCEDURES FOR FILING.

Destroy when 3 years old.

SSIC 12870

LIFE INSURANCE RECORDS

1. RECORDS PERTAINING TO LIFE INSURANCE, ELECTION, COVERAGE, AND DESIGNATION OF BENEFICIARY.

Destroy when superseded, obsolete or no longer needed.

SSIC 12890

HEALTH INSURANCE

1. RECORDS PERTAINING TO HEALTH INSURANCE REGISTRATION, ENROLLMENT AND WITHHOLDINGS.

Destroy when superseded, obsolete or no longer needed.

2. DENIED HEALTH BENEFITS REQUESTS UNDER SPOUSE EQUITY. Denied eligibility files consisting of applications, court orders, denial letters, appeal letters, and related papers. (See note).

a. Health benefits denied, not appealed.

Destroy 3 years after denial.

b. Health benefits denied, appealed to OPM for reconsideration.

(1) Appeal successful-benefits granted.

Create enrollment file in accordance with Subchapter

S17 of the FEHB Handbook.

(2) Appeal unsuccessful-benefits denied.

Destroy 3 years after denial.

NOTE: Pursuant to Subchapter S17 of the FEHB Handbook enrollment files of spouses eligible for benefits are transferred to OPM when former spouse cancels the enrollment, when enrollment is terminated by the employing office, or when former spouse begins receiving an annuity payment.

SSIC 12900-12999

GENERAL AND MISCELLANEOUS RECORDS

SSIC 12900

GENERAL AND MISCELLANEOUS RECORDS

RECORDS NOT COVERED IN OTHER SSICs IN THE 12900 SERIES.

Destroy when no longer required for current operations.

SSIC 12910

MOBILIZATION READINESS RECORDS

1. MOBILIZATION READINESS RECORDS. Files pertaining to emergency procedures in the event of a nuclear attack including reassignment and utilization of personnel.

Destroy when superseded.

SSIC 12915

MILITARY SERVICE OBLIGATION RECORDS

1. MILITARY SERVICE OBLIGATION RECORDS. Files relating to obligation of department civilian employees, designation of key federal employees, and screening of reservists for military service obligation.

Destroy when superseded by annual screening of ready reserve.

SSIC 12920

SENIOR EXECUTIVE SERVICE (SES) RECORDS

1. STAFFING AND SELECTION RECORDS. Records established and maintained as prescribed by OPNAVINST 12920.2, Subj: Senior Executive Service Merit Staffing (NOTAL).

Destroy 2 years after a competitive vacancy is filled or OPM evaluation, whichever occurs first, or 2 years after final disposition of discrimination complaint by DON.

2. SES MEMBERS' PERFORMANCE RECORDS. SES evaluation summary and objective performance record sheets.

Destroy 5 years after date of appraisal, exclusive of any interim service as a presidential appointee.

3. SES appointees (as defined in 5 USC 3132a(2)).

a. Performance records superseded through an administrative, judicial, or quasi-judicial procedure.

Destroy when superseded.

b. Performance-related records pertaining to a former SES appointee.

(1) Latest rating of record that is less than 5 years old, performance plan upon which it is based, and any summary rating.

Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee leaves Federal Service (see SSIC 12293.1(2)(b)). An agency retrieving an OPF from NPRC will dispose of those documents in accordance with SSIC 12920 paragraph 3b(2) of this schedule.

(2) All other performance ratings and plans.

Destroy when 5 years old, or when no longer needed, whichever is sooner.

c. All other performance appraisals, along with job elements and standards (job expectations) upon which they are based, EXCLUDING those for SES appointees serving on a Presidential appointment (5 CFR 214).

Destroy 5 years after date of appraisal.

4. All other statements of employment and financial interests and related records, including confidential statements filed under Executive Order 11222.

Destroy when 6 years old EXCEPT that documents needed in an ongoing investigation will be retained until no longer need in the investigation.

SSIC 12930

PROGRAMS FOR SPECIFIC POSITIONS OR EXAMINATIONS (MISCELLANEOUS) RECORDS

1. RECORDS RELATING TO SPECIAL EXAMINATIONS FOR SPECIFIC POSITIONS, SUCH AS MOTOR VEHICLE OPERATOR, ATTORNEY OR LAW CLERK.

Destroy when 2 years old.

SSIC 12938

CLASSIFICATION AND PAY OF SPECIFIC POSITIONS RECORDS

1. GENERAL CORRESPONDENCE AND SUBJECT FILES.

Destroy when position is cancelled or superseded.

SSIC 12950

SOLICITATION OF FEDERAL CIVILIAN AND UNIFORMED SERVICES PERSONNEL FOR CONTRIBUTIONS TO PRIVATE VOLUNTEER ORGANIZATIONS RECORDS

1. CORRESPONDENCE AND FILES RELATING TO THE ADMINISTRATION AND/OR IMPLEMENTATION OF ALL RECORDS ASSOCIATED WITH INTERNAL ACCOUNTING AND AUDITING OF CONTRIBUTIONS TO PRIVATE VOLUNTEER ORGANIZATIONS.

Destroy when 1 year old.

SSIC 12971

TRAINING, PROMOTION, AND EXECUTIVE DEVELOPMENT AGREEMENTS WITH SPECIFIC AGENCIES RECORDS

1. PERSONNEL CORRESPONDENCE AND SUBJECT FILES. Files relate to general administration and operation of personnel functions and include merit promotion and executive development program.

Destroy when 3 years old.

SSIC 12990

GENERAL AND MISCELLANEOUS RECORDS

1. FILES RELATING TO GENERAL ADMINISTRATION AND OPERATION OF

**PERSONNEL FUNCTIONS NOT SPECIFICALLY
DESCRIBED ELSEWHERE IN THE 12000 SERIES.
(Exclude those at agency staff planning levels.)**

Destroy when 3 years old.

**2. DUPLICATE DOCUMENTATION AND
PERSONNEL FILES MAINTAINED OUTSIDE
PERSONNEL OFFICES.**

a. Supervisor's Personnel Files. Correspondence, memoranda, forms and other records relating to positions, authorizations, and pending action; copies of position descriptions; requests for personnel action; and records on individual employees duplicated in or not appropriate for the OPF.

(1) Annual Review.

Destroy when superseded or obsolete.

(2) Separation or transfer of employee.

Destroy 1 year after separation or transfer.

b. Duplicate Documentation. Other copies of documents duplicated in the OPF not provided for elsewhere in this schedule.

Destroy when 6 months old.